

DM 20-007



**Amerex Brokers LLC**

1 Sugar Creek Center Blvd.  
Suite 700  
Sugar Land, TX 77478  
281.340.5200  
www.amerexenergy.com

January 16, 2020

**VIA FEDEX**

NHPUC 21JAN20AM11:09

New Hampshire Public Utilities Commission  
Debra Howland, Executive Director  
21 South Fruit Street, Suite 10  
Concord, NH 03301-2429

**RE: *In The Matter of the Renewal Application of Amerex Brokers LLC for Registration to Provide Electric Power Aggregation Services to the Public Under New Hampshire Code of Administrative Rules 2006.02 (herein "Application").***

To whom it may concern:

Please find enclosed herein the Renewal Application of Amerex Brokers LLC ("Amerex") for registration as an Electric Power Aggregator in New Hampshire. Amerex may combine the electricity loads of a single customer with multiple meters or multiple locations. As such, we are seeking the renewal registration as an Electric Power Aggregator in New Hampshire in accordance with Puc 2003.06.

In accordance with Puc 2003.06, we have included in this Application the applicable renewal registration fee of \$125.00 payable to the State of New Hampshire. Also, enclosed herein is the Renewal Application of Amerex Brokers LLC in accordance with the form outlined in Puc 2006.02. Following the Application, we have included Exhibit A evidencing Amerex's authorization to do business in New Hampshire from the Secretary of State and Exhibit B containing a statement by Amerex affirming the accuracy and completeness of the information provided in the Application.

Amerex is a brokerage firm specializing in commodities such as electric power, natural gas and environmental commodities. The retail division of Amerex specializes in energy price risk consulting and energy procurement for commercial, governmental and industrial customers. It is Amerex's retail division which submits this Renewal application.

Should the Commission require any additional information, documentation or clarification, please do not hesitate to contact me directly at your convenience.

Respectfully Submitted,

A handwritten signature in blue ink, appearing to read "Amalia Berrios", written over a horizontal line.

Amalia Berrios  
VP/Sr. Counsel

**BEFORE THE NEW HAMPSHIRE PUBLIC UTILITIES COMMISSION**

<b>In the Matter of the Renewal Application of</b>	<b>§</b>	
<b>Amerex Brokers LLC Registration as an Electric</b>	<b>§</b>	
<b>Power Aggregator in New Hampshire</b>	<b>§</b>	<b>Docket No. DM 15-040</b>
<b>in Accordance with Puc 2006.02</b>	<b>§</b>	

**Puc 2006.02 Form for Initial and Renewal Registration of Aggregators.**

The registration application required by Puc 2003.05(e)(1) and Puc 2003.06(a) shall include the following:

(a) The legal name of the applicant as well as any trade name(s) under which it intends to operate in this state.

**Response:** Amerex Brokers LLC

(b) The applicant's business address, telephone number, e-mail address and website address, as applicable.

**Response:** 1 Sugar Creek Center Blvd.  
Suite 700  
Sugar Land, Texas 77478  
Phone: 281-340-5200  
Email: [aberrios@amerexenergy.com](mailto:aberrios@amerexenergy.com)  
Website: [www.amerexenergy.com](http://www.amerexenergy.com)

(c) The name(s), title(s), business address(es), telephone number(s), and e-mail address(es) of the applicant if an individual or of the applicant's principal(s), if the applicant is anything other than an individual.

**Response:** Amerex Brokers LLC is a Delaware limited liability company. Amerex management is comprised of 3 Managing Directors: Mark Gaynor (Sr. Managing Director), Steve Marland (Managing Director), and John Bolton (Managing Director). Each Managing Director has the same address and telephone number as enumerated in Item 2 above. Their respective emails are as follows: [mgaynor@amerexenergy.com](mailto:mgaynor@amerexenergy.com); [smarland@amerexenergy.com](mailto:smarland@amerexenergy.com); and [jbolton@amerexenergy.com](mailto:jbolton@amerexenergy.com).

(d) The telephone number of the customer service department or the name, title, telephone number and e-mail address of the customer service contact person of the applicant, including toll free telephone numbers if available.

**Response:** John Bolton is our customer service contact for our retail division at Amerex Brokers LLC. His email address is [jbolton@amerexenergy.com](mailto:jbolton@amerexenergy.com). His telephone number is 281-340-5217. The toll free number available to Amerex customers is 866-802-0519.

(e) Name, title of each person responding to commission inquiries regarding the following:

**Response:**

1. Customer complaints: John Bolton, Managing Director, Amerex Brokers LLC, 1 Sugar Creek Center Blvd., Suite 700, Sugar Land, Texas 77478; [jboltton@amerexenergy.com](mailto:jboltton@amerexenergy.com); 281-340-5200
2. Regulatory compliance matters: Amalia Berrios, VP/Sr. Counsel, Amerex Brokers LLC, 1 Sugar Creek Center Blvd., Suite 700, Sugar Land, Texas 77478; [aberrios@amerexenergy.com](mailto:aberrios@amerexenergy.com); 281-340-5212
3. Commission assessment payments: Amalia Berrios, VP/Sr. Counsel, Amerex Brokers LLC, 1 Sugar Creek Center Blvd., Suite 700, Sugar Land, Texas 77478; [aberrios@amerexenergy.com](mailto:aberrios@amerexenergy.com); 281-340-5212

(f) Evidence of the applicant's authorization to do business in New Hampshire from the secretary of state, if anything other than an individual.

**Response:** Please see the attached Exhibit A.

(g) Evidence of applicant's trade name, if any, to be used by applicant in New Hampshire from Secretary of State

**Response:** Not applicable

(h) Response is NO, to each item in subsection (h)(1)-(5).

(i) List of the other states or jurisdictions applicant currently conducts business relating to the aggregation of electric customers

**Response:** Texas

(j) A statement that the applicant is not representing any supplier interest or a listing of any supplier interest the applicant intends to represent.

**Response:** Amerex is not representing and does not intend to represent any supplier interest.

(k) date when applicant expects to commence marketing services to customers in New Hampshire.

**Response:** Amerex is currently marketing to customers in New Hampshire.

(l) A statement certifying applicant has authority to file application on behalf of the aggregator

**Response:** Please see attached Exhibit B

(m) The signature of the applicant or its representative.

**Response:** Please see the attached Exhibit B



## Electric Load Aggregation Application Form

This form may be used to: (1) apply for initial registration as an electric load aggregator in New Hampshire, (2) apply for renewal of registration as an electric load aggregator in New Hampshire, and (3) notify the Commission of any changes to information in a previously-filed electric aggregator application form. *This form is provided as a convenience for filing only; you are required to provide all information specified under Puc 2006.02 when applying for initial or renewal registration as an electric aggregator, but you are not required to use this form when doing so.*

Indicate whether this application is for an initial registration or for a renewal. Initial <input type="checkbox"/> Renewal <input checked="" type="checkbox"/>		
Applicant's General Information		
Puc 2006.02(a)	Legal Name	Amerex Brokers LLC
	Trade Name (d/b/a) (if applicable)	
Puc 2006.02(b)	Business Mailing Address	1 Sugar Creek Center Blvd., Suite 700 Sugar Land, Texas 77478
	Telephone Number	281-340-5200
	E-Mail Address	aberrios@amerexenergy.com
	Website Address (if applicable)	www.amerexenergyservices.com
Puc 2006.02(c)	Provide the name(s), title(s), business address(es), telephone number(s), and e-mail address(es) of the applicant, if an individual, or of the applicant's principal(s), <sup>1</sup> if the applicant is anything other than an individual. Use additional sheets if your response exceeds the space provided on the form.	
	Name	Prash Naik
	Title	Chief Operating Officer
	Business Mailing Address	GFinet inc. 55 Water Street, New York, New York 10004
	Telephone Number	212-968-4100
	E-Mail Address	prash.naik@gfigroup.com
	Name	Mark Gaynor
	Title	Sr. Managing Director
	Business Mailing Address	1 Sugar Creek Center Blvd., Suite 700 Sugar Land, Texas 77478
	Telephone Number	281-340-5200
	Email Address	
	Name	
	Title	
	Business Mailing Address	
	Telephone Number	
	E-Mail Address	

<sup>1</sup> "Principals" means, for a corporation, any of its officers, directors, or controlling shareholders, for a limited liability company, any of its managers or controlling members, for a partnership, any of its general partners, and for any other business entity, any of its personnel exercising executive functions and any of its controlling equity owners.



Customer Service Contact		
Puc 2006.02(d)	Name	John Bolton
	Title	Managing Director
	Telephone Number	281-340-5212
	Toll-Free Telephone Number (if available)	866-802-0519
	E-Mail Address	jbolton@amerexenergy.com

Customer Complaints Contact		
Puc 2006.02(e)(1)	Name	John Bolton
	Title	Managing Director
	Business Mailing Address	1 Sugar Creek Center Blvd; Suite 700
		Sugar Land, Texas 77478
	Telephone Number	281-340-5200
	E-Mail Address	jbolton@amerexenergy.com

Regulatory Compliance Matters Contact		
Puc 2006.02(e)(2)	Name	Amalia Berrios
	Title	VP and Sr. Counsel
	Business Mailing Address	1 Sugar Creek Center Blvd.; Suite 700
		Sugar Land, Texas 77478
	Telephone Number	281-340-5212
	E-Mail Address	aberrios@amerexenergy.com

Commission Assessment Payments Contact		
Puc 2006.02(e)(3)	Name	Amalia Berrios
	Title	VP and Sr. Counsel
	Business Mailing Address	1 Sugar Creek Center Blvd.; Suite 700
		Sugar Land, Texas 77478
	Telephone Number	281-340-5212
	E-Mail Address	aberrios@amerexenergy.com

Separate Attachments: Business Authority and Trade Name	
Puc 2006.02(f)	Provide, as a separate attachment, evidence of the applicant's authorization to do business in New Hampshire from the New Hampshire secretary of state by submitting either of the following: (1) a recent printout of the applicant's listing on the N.H. Secretary of State website with the status "In Good Standing" or words of similar import; or <i>See Exhibit A</i> (2) a copy of a certificate from the N.H. Secretary of State's office stating that the applicant is authorized to do business in New Hampshire.
Puc 2006.02(g)	Provide, as a separate attachment, evidence of the applicant's registration of the trade name, if any, to be used by the applicant in New Hampshire from the New Hampshire secretary of state by submitting either of the following: (1) a recent printout of the applicant's trade name on the N.H. Secretary of State website with the status "Active" and indicating that the trade name is owned by the applicant; or <i>N/A</i> (2) a copy of a certificate from the N.H. Secretary of State's office indicating that the applicant has registered as doing



	business under the trade name.
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Statements Regarding Applicant and its Principals		
	Please respond to each of the following questions with either "Yes" or "No."	
Puc 2006.02(h)(1)	Has applicant or any of its principals ever been convicted of any felony that has not been annulled by a court?	No
Puc 2006.02(h)(2)	Has applicant or any of its principals, within the 10 years immediately prior to application, had any civil, criminal, or regulatory sanctions or penalties imposed against it, him, or her pursuant to any state or federal consumer protection law or regulation?	No
Puc 2006.02(h)(3)	Has applicant or any of its principals, within the 10 years immediately prior to application, settled any civil, criminal, or regulatory investigation or complaint involving any state or federal consumer protection law or regulation?	No
Puc 2006.02(h)(4)	Is applicant or any of its principals currently the subject of any pending civil, criminal, or regulatory investigation or complaint involving any state or federal consumer protection law or regulation?	No
Puc 2006.02(h)(5)	Has applicant or any of its principals been denied authorization to provide competitive electricity supply service or electric aggregation service in any other state or jurisdiction?	No
	If an affirmative answer is provided to any item above, then provide a detailed explanation of the occurrence and the related circumstances. Use additional sheets as needed.	

Other States		
Puc 2006.02(i)	Please list other states or jurisdictions in which the applicant currently conducts business relating to the aggregation of electric customers.	TEXAS

Statement Regarding Supplier Representation		
Puc 2006.02(j)	Please respond to the following question with either "Yes" or "No." Is the applicant representing any supplier interest?	No
	If the response to the preceding question is "Yes," please list the supplier(s) represented. Use additional sheets if needed.	

Expected Marketing Start Date		
Puc 2006.02(k)	Provide the date upon which the applicant expects to commence marketing its services to customers in New Hampshire.	CURRENTLY Date _____

Attestation and Signature		
Puc 2006.02(l) and (m)	<p>BY SIGNING BELOW, THE APPLICANT REPRESENTATIVE CERTIFIES THAT IT HAS THE AUTHORITY TO FILE THE APPLICATION ON BEHALF OF THE AGGREGATOR AND ATTESTS THAT THE CONTENTS OF THE APPLICATION ARE TRUTHFUL, ACCURATE, AND COMPLETE.</p> <p> Signature of the applicant or its authorized representative</p> <p>Name: <u>Amalia Berrios</u></p> <p>Title: <u>VP/Sr. Counsel</u></p>	<p><u>1/16/2020</u> Date</p>

Filing Instructions		
	<p>1) Mail an original and two paper copies of this form and all separate attachments to: Executive Director, NHPUC, 21 South Fruit St., Suite 10, Concord, NH 03301</p> <p>2) E-mail a PDF of this form and all separate attachments to: <a href="mailto:Executive.Director@puc.nh.gov">Executive.Director@puc.nh.gov</a></p>	

## EXHIBIT A

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## Search Business Names

[← Back to Home \(/online/BusinessInquire\)](#)

## Search Result

Business Name	Business ID	Homestate Name	Previous Name	Business Type	Principal Office Address	Registered Agent Name	Status
Amerex Brokers LLC (/online/BusinessInquire/BusinessInformation? businessID=508668)	687527	Amerex Brokers LLC		Foreign Limited Liability Company	1 Sugar Creek Center Boulevard, Suite 700, Sugar Land, TX, 77478, USA	CORPORATION SERVICE COMPANY	Good Standing

Page 1 of 1, records 1 to 1 of 1

[Back](#)NH Department of State, 107 North Main St. Room 204, Concord, NH 03301 -- [Contact Us \(/online/Home/ContactUS\)](#)

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State of New Hampshire  
Department of State  
Corporation Division

603-271-3246



Enclosed is the acknowledgment copy of your Application for Registration as a Foreign Limited Liability Company. It acknowledges this office's receipt and filing of your documents.

Should you have any questions, you may contact the Corporation Division at the above number or email us at [corporate@sos.state.nh.us](mailto:corporate@sos.state.nh.us). Please reference your Business ID # located in the filed section of the enclosed acknowledgement copy of Application for Registration as a Foreign Limited Liability Company.

Please visit our website for helpful information regarding all your business needs.

Regards,

New Hampshire Department of State  
Corporation Division

Business ID#: 687527

# State of New Hampshire

Filed  
Date Filed: 02/25/2013  
Business ID: 687527  
William M. Gardner  
Secretary of State

Filing fee: \$ 50.00  
Fee for Form SRA: \$ 50.00  
Total fees: \$100.00  
Use black print or type.

Form FLLC-1  
RSA 304-C:175

## APPLICATION FOR REGISTRATION AS A FOREIGN LIMITED LIABILITY COMPANY

PURSUANT TO THE PROVISIONS of the New Hampshire Limited Liability Company laws, the undersigned hereby applies for registration to transact business in New Hampshire and for that purpose submits the following statement:

FIRST: The name of the limited liability company is Amerex Brokers LLC

SECOND: The name which it proposes to register and do business in New Hampshire is Amerex Brokers LLC

THIRD: It is formed under the laws of Delaware

FOURTH: The date of its formation is August 22, 2006

FIFTH: The nature of the business or purposes to be conducted or promoted in New Hampshire is Amerex Brokers LLC shall conduct in NH business for any lawful purpose; perform energy procurement service.

SIXTH: The name of its registered agent in New Hampshire is C T Corporation System

and the street address, town/city (including zip code and post office box, if any) of its registered office is (agent's business address in New Hampshire) 9 Capitol Street, Concord, NH 03301

SEVENTH: The sale or offer for sale of any ownership interests in this business will comply with the requirements of the New Hampshire Uniform Securities Act (RSA 421-B).

State of New Hampshire  
Form FLLC 1 - Application for Foreign Registration FLLC 4 Page(s)



T1305631045

APPLICATION FOR REGISTRATION AS A  
FOREIGN LIMITED LIABILITY COMPANY

Form FLLC-1  
(Cont.)

\*Signature: Paul Puchot  
Print or type name: Paul Puchot  
Title: Manager  
Date signed: 2-20-2013

Complete address of person signing: 1 Sugar Creek Center Blvd., Suite 70  
Sugar Land, Texas  
77478

To receive your ANNUAL REPORT REMINDER NOTICE by email, please enter your email address here:  
cynthia.lchan@gfigroup.com

\* Shall be executed on behalf of the foreign limited liability company by a person with authority to do so under the laws of the state or other jurisdiction of its formation, or, if the foreign limited liability company is in the hands of a receiver, executor, or other court appointed fiduciary, trustee, or other fiduciary, it must be signed by that fiduciary.

DISCLAIMER: All documents filed with the Corporation Division become public records and will be available for public inspection in either tangible or electronic form.

Mail fees, DATED AND SIGNED ORIGINAL AND FORM SRA to: Corporation Division, Department of State, 107 North Main Street, Concord NH 03301-4989. Physical location: 25 Capitol Street, 3<sup>rd</sup> Floor, Concord, NH 03301.

**Form SRA – Addendum to Business Organization and Registration Forms  
Statement of Compliance with New Hampshire Securities Laws**

**Part I – Business Identification and Contact Information**

Business Name: Amerex Brokers LLC  
Business Address (include city, state, zip): 1 Sugar Creek Center Blvd., Suite 100, Sugar Land, Texas 77478  
Telephone Number: 281 340 5272 E-mail: ppuchot@amerexenergy.com  
Contact Person: Amalia Berrios  
Contact Person Address (if different): Same

**Part II – Check ONE of the following items in Part II. If more than one item is checked, the form will be rejected. [PLEASE NOTE: Most small businesses registering in New Hampshire qualify for the exemption in Part II, Item 1 below. However, you must insure that your business meets all of the requirements spelled out in A), B), and C):]**

1. ☐ Ownership interests in this business are exempt from the registration requirements of the state of New Hampshire because the business meets ALL of the following three requirements:  
A) This business has 10 or fewer owners; and  
B) Advertising relating to the sale of ownership interests has not been circulated; and  
C) Sales of ownership interests – if any – will be completed within 60 days of the formation of this business.
2. ☐ This business will offer securities in New Hampshire under another exemption from registration or will notice file for federal covered securities. Enter the citation for the exemption or notice filing claimed - \_\_\_\_\_
3. ☐ This business has registered or will register its securities for sale in New Hampshire. Enter the date the registration statement was or will be filed with the Bureau of Securities Regulation - \_\_\_\_\_
4. ☒ This business was formed in a state other than New Hampshire and will not offer or sell securities in New Hampshire.

**Part III – Check ONE of the following items in Part III:**

1. ☒ This business is not being formed in New Hampshire.
2. ☐ This business is being formed in New Hampshire and the registration document states that any sale or offer for sale of ownership interests in the business will comply with the requirements of the New Hampshire Uniform Securities Act.

**Part IV – Certification of Accuracy**

(NOTE: The information in Part IV must be certified by: 1) all of the incorporators of a corporation to be formed; or 2) an executive officer of an existing corporation; or 3) all of the general partners or intended general partners of a limited partnership; or 4) one or more authorized members or managers of a limited liability company; or 5) one or more authorized partners of a registered limited liability partnership or foreign registered limited liability partnership.)

I (We) certify that the information provided in this form is true and complete. (Original signatures only)

Name (print): <u>Paul Puchot</u>	Signature: <u>Paul Puchot</u>
	Date signed: <u>2-20-2013</u>
Name (print): _____	Signature: _____
	Date signed: _____
Name (print): _____	Signature: _____
	Date signed: _____

## **EXHIBIT B**

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## VERIFICATION

STATE OF TEXAS §

COUNTY OF FORT BEND §

Amalia Berrios, being duly sworn, deposes that she is VP and Sr. Counsel at Amerex Brokers LLC ;l that she is authorized to file the application on behalf of Amerex Brokers LLC; that she has read the foregoing Cover Letter and Application of Amerex Brokers LLC for Renewal of the Electric Load Aggregator registration in New Hampshire, and all the attachments accompanying and referred to in the Application; and that the statements contained in the Cover Letter, Application and the Exhibits are true, correct and complete to the best of her knowledge, information and belief.

Amerex Brokers LLC

By: 

Amalia Berrios,  
VP and Sr. Counsel

Notarization: \_\_\_\_\_

Subscribed and sworn to before me on this 16<sup>th</sup> day of January, 2020.

  
Notary Public

Stamp of Notary:

